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on September 20, 2001.

Respectfully submitted,

By: Thomas L. Evans
Thomas L. Evans, PTO Reg. No. 35,805
BANNER AND WITCOFF, LTD.

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Technology Center 2100

Atty. Docket No.
05313.00003

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:

Marc VAN HEYNINGEN ET AL.

Examiner: To Be Assigned

U.S. Pat. App. No.: 09/783,146

Group Art Unit: 2131

Filed: February 13, 2001

For: METHOD AND APPARATUS FOR PROVIDING SECURE STREAMING
DATA TRANSMISSION FACILITIES USING UNRELIABLE PROTOCOLS

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Pursuant to his duty of disclosure under 37 C.F.R. §1.56, Applicant brings the following documents to the attention of the Examiner in the above-identified patent application:

- (1) *Internet Engineering Task Force (IETF) Request For Comment (RFC) 1928*,
“SOCKS Protocol V5,” M. Leech et al., March 1996;
- (2) *Internet Engineering Task Force (IETF) Request For Comment (RFC) 1929*,
“Username/Password Authentication For SOCKS V5,” M. Leech, March 1996;
- (3) *Internet Engineering Task Force (IETF) Request For Comment (RFC) 1301*,
“Multicast Transport Protocol,” by S. Armstrong et al., February, 1992;
- (4) “Hashing Concepts And The Java Programming Language,” by Robert Uzgalis, 1996;
- (5) “HashB.sml - Hashing Functions For Lab 2-B,” by John Hamer, June, 2000;
- (6) “MTP: Multicast Transport Protocol,” an article posted on the Network And
Telecommunications Research Group website address
“<http://ntrg.cs.tcd.ie/4ba2/multicast/magnus/index.html>” on January 24, 2001;
- (7) “Nokia VPN Gateways: Patented IP Clustering Technology Provides True Active
Session Failover And Dynamic Load Balancing”
- (8) “TIB/Rendezvous C Reference,” Tibco Software Inc., December, 1999;
- (9) “TIB/Rendezvous Java Reference,” Tibco Software Inc., December, 1999;
- (10) “TIB/Rendezvous Administration,” Tibco Software Inc., December, 1999;
- (11) “TIB/Rendezvous Installation,” Tibco Software Inc., December, 1999;
- (12) “TIB/Rendezvous Concepts,” Tibco Software Inc., December, 1999;
- (13) U.S. Patent No. 5,822,531 to Gorczyca et al., entitled “Method And System For
Dynamically Reconfiguring A Cluster Of Computer Systems,” issued on October 13, 1998;

(14) U.S. Patent No. 6,006,259 to Adelman et al. entitled "Method And Apparatus For An Internet Protocol (IP) Network Clustering System," issued on December 21, 1999;

(15) U.S. Patent No. 6,038,677 to Lawlor et al., entitled "Automatic Resource Group Formation And Maintenance In A High Availability Cluster Configuration," issued on March 14, 2000;

(16) U.S. Patent No. 6,078,957 to Adelman et al., entitled "Method And Apparatus For A TCP/IP Load Balancing And Failover Process In An Internet Protocol (IP) Network Clustering System," issued on June 20, 2000;

(17) U.S. Patent No. 6,094,485 to Weinstein et al., entitled "SSL Set-Up," issued on July 25, 2000;

(18) U.S. Patent No. 6,192,417 to Block et al., entitled "Multicast Cluster Servicer For Communicating Amongst A Plurality Of Nodes Without A Dedicated Local Area Network," issued on February 20, 2001;

(19) Wireless Application Protocol, Wireless Transport Layer Security Specification, WAP WTLS WAP-199-WTLS, Version 18, February 2000;

(20) Microsoft Corporation, Microsoft Corporation's PCT Protocol, Document version 2.00, D. Simon, April 1996;

(21) "SSL and TLS, Designing and Building Secure Systems," Addison Wesley Publishing, E. Rescorla;

(22) "SSL and TLS Essentials, Securing the Web," Wiley Publishing, S. Thomas;

(23) Information printed from website “www.openssl.org/docs/apps/openssl.html) on 7/2/01;

(24) Information printed from website “www.openssl.org/docs/ssl/ssl.html) on 7/2/01;

(25) Information printed from website “www.openssl.org/docs/crypto/crypto.html) on 7/2/01;

(26) Information printed from website “www.openssl.org/HOWTO/) on 7/2/01;

(27) “KERBEROS A Network Authentication System,” Addison Wesley Networking Basics Series, B. Tung; and

(28) Information printed from website (www.broadcom.com/doc/promo5820.html) on 8/15/01.

A PTO-1449 form is included herewith listing these documents, and a copy of each of these documents is attached. All of the documents are in English, so Applicants respectfully urge that further comment is unnecessary in accordance with 37 C.F.R. 1.98(a)(3).

A first Official Action has not yet issued for this application. Therefore, Applicant submits that no fees are required for the Examiner's consideration of the documents listed in this Information Disclosure Statement. It is respectfully requested that the documents listed above be considered by the Examiner in the above-identified patent application and that they be made

U.S. Pat. App. No.: 09/783,146
Atty. Docket No.: 05313.00003

officially of record therein. It is further requested that a listing of the same appear on the face of any patent that may issue from this application.

Respectfully submitted,

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September 20, 2001



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| PTO-1449 (Modified) U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE INFORMATION DISCLOSURE STATEMENT BY APPLICANT | ATTY. DOCKET NO. 05313.00003 | SERIAL NUMBER 09/783,146 |
| | APPLICANT Marc D. Van Heyningen et al. | |
| | FILING DATE February 13, 2001 | GROUP ART UNIT 2131 |

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U.S. PATENT DOCUMENTS

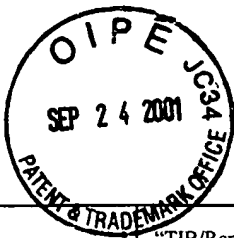
| EXAMINER INITIAL | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB CLASS | FILING DATE |
|---------------------|--------------------|----------|------------------|-------|--------------|----------------|
| | 5,822,531 | 10/13/98 | Gorczyca et al. | | | |
| | 6,006,259 | 12/21/99 | Adelman et al. | | | |
| | 6,038,677 | 3/14/00 | Lawlor et al. | | | |
| | 6,078,957 | 6/20/00 | Adelman et al. | | | |
| | 6,094,485 | 7/25/00 | Weinstein et al. | | | |
| | 6,192,417 | 2/20/01 | Block et al. | | | |
| | | | | | | |

FOREIGN PATENT DOCUMENTS

| EXAMINER INITIAL | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB CLASS | TRANSLATION YES/NO |
|---------------------|--------------------|------|---------|-------|--------------|-----------------------|
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OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

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| | <i>Internet Engineering Task Force (IETF) Request For Comment (RFC) 1928, "SOCKS Protocol V5," M. Leech et al., March 1996</i> |
| | <i>Internet Engineering Task Force (IETF) Request For Comment (RFC) 1929, "Username/Password Authentication For SOCKS V5," M. Leech, March 1996</i> |
| | <i>Internet Engineering Task Force (IETF) Request For Comment (RFC) 1301, "Multicast Transport Protocol," by S. Armstrong et al., February, 1992</i> |
| | "Hashing Concepts And The Java Programming Language," by Robert Uzgalis, 1996 |
| | "HashB.sml - Hashing Functions For Lab 2-B," by John Hamer, June, 2000 |
| | "MTP: Multicast Transport Protocol," an article posted on the Network And Telecommunications Research Group website address "http://ntrg.cs.tcd.ie/4ba2/multicast/magnus/index.html" on January 24, 2001 |
| | "Nokia VPN Gateways: Patented IP Clustering Technology Provides True Active Session Failover And Dynamic Load Balancing" |
| | "TIB/Rendezvous C Reference," Tibco Software Inc., December, 1999 |
| | "TIB/Rendezvous Java Reference," Tibco Software Inc., December, 1999 |
| | "TIB/Rendezvous Administration," Tibco Software Inc., December, 1999 |



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| | "TIB/Rendezvous Installation," Tibco Software Inc., December, 1999 |
| | "TIB/Rendezvous Concepts," Tibco Software Inc., December, 1999 |
| | Wireless Application Protocol, Wireless Transport Layer Security Specification, WAP WTLS WAP-199-WTLS, Version 18, February 2000, 99 pages. |
| | D. Simon: Microsoft Corporation, Microsoft Corporation's PCT Protocol, Document version 2.00, April 1996, 38 pages. |
| | E. Rescorla: "SSL and TLS, Designing and Building Secure Systems" Addison Wesley Publishing, pages 43-55, 57-67, and 88-91. |
| | S. Thomas: "SSL and TLS Essentials, Securing the Web" Wiley Publishing, Table of Contents pages ix-xiii, pages 10-11, page 13, and pages 118-129 (additional information from this book will be provided upon the Examiner's request). |
| | Information printed from website (www.openssl.org/docs/apps/openssl.html) on 07/02/2001, 7 pages. |
| | Information printed from website (www.openssl.org/docs/ssl/ssl.html) on 07/02/2001, 15 pages. |
| | Information printed from website (www.openssl.org/docs/crypto/crypto.html) on 07/02/2001, 2 pages. |
| | Information printed from website (www.openssl.org/docs/HOWTO/) on 07/02/2001, 1 page. |
| | B. Tung: "KERBEROS A Network Authentication System" Addison Wesley Networking Basics Series, entire book pages vii-164. |
| | Information printed from website (www.broadcom.com/doc/promo5820.html) on 8/15/01, 6 pages. |

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| EXAMINER | DATE CONSIDERED |
| EXAMINER: Initial citation if reference was considered. Draw line through citation if not in conformance to MPEP 609 and not considered. Include copy of this form with next communication to applicant. | |

Ids w/1449 form filed: September 20, 2001